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JC926 U.S. PTO

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Please type an "+" inside this box  +PTO/SB/O5 (4/98) Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 4034-20

First Named Inventor or Application Identified Thomas C. Naratil

Title System and Method for Trading Taxable and Non-Taxable Securities

Express Mail Label No. EL478364962US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: **Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231**

1.  \*Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2.  Specification [Total Pages 22]  
(preferred arrangement as set forth below)  
 - Descriptive title of the Invention  
 - Cross References to Related Applications  
 - Statement Regarding Fed sponsored R & D  
 - Reference to Microfiche Appendix  
 - Background of the Invention  
 - Brief Summary of the Invention  
 - Brief Description of the Drawings (if filed)  
 - Detailed Description  
 - Claim(s)  
 - Abstract of the Disclosure
3.  Drawing(s) (35 USC 113) [Total Sheets 4]
4. Oath or Declaration [Total Pages 2]  
 a.  Newly executed (original or copy)  
 b.  Copy from a prior application (37 CFR 1.63(d))  
 (for continuation/divisional with Box 17 completed)  
 [Note Box 5 below]  
 i.  DELETION OF INVENTOR(S)  
 Signed statement attached deleting inventor(s)  
 named in the prior application, see 37 CFR  
 1.63(d)(2) and 1.33(b).

5.  Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
 a.  Computer Readable Copy  
 b.  Paper Copy (identical to computer copy)  
 c.  Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

7.  Assignment Papers (cover sheet & documents(s))
8.  37 CFR 3.73(b) Statement  Power of Attorney  
(when there is an assignee)
9.  English Translation Document (if applicable)
10.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
11.  Preliminary Amendment
12.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
13.  \*Small Entity  Statement filed in prior application, Statements(s) Status still proper and desired (PTO/SB/09-12)
14.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
15.  Other: Certification of Mailing

\*NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27). EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

**16. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment:**

Continuation  Divisional  Continuation-in-part (CIP)  
 Prior application information: Examiner: \_\_\_\_\_ Group/Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORRESPONDENCE ADDRESS**

Customer Number or Bar Code Label  (Insert Customer No. or Attach bar code label here) or  Correspondence address below

NAME	Leslie Gladstone Restaino, Esq. Riker, Danzig, Scherer, Hyland & Perretti LLP				
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COUNTRY	USA	TELEPHONE	973-538-0800	FAX	973-359-0984

Name (Print/Type)	Leslie Gladstone Restaino, Esq.	Registration No. (Attorney/Agent)	38,893
Signature	<i>Leslie Gladstone Restaino</i>		Date 10/16/2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to The Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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<b>FEE TRANSMITTAL</b> <b>for FY 2001</b>		<b>Complete if Known</b>																																																																																																																																																																																														
<small>Patent fees are subject to annual revision.  <b>Small Entity payments must be supported by a small entity statement otherwise large entity fees must be paid. See Forms PTO/SB/09-12 See 37 C.F.R. § 1.27 and 1.28</b></small>		Application Number Filing Date First Named Inventor Examiner Name Group/Art Unit Attorney Docket Number																																																																																																																																																																																														
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<b>METHOD OF PAYMENT</b> (check one)				<b>FEE CALCULATION</b> (continued)																																																																																																																																																																																												
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account Number 50-0444 Deposit Account Name Riker, Danzig, Scherer, Hyland & Perretti LLP <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 C.F.R. § 1.16 and 1.17				3. <b>ADDITIONAL FEES</b> <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Entity Fee (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provision filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112</td><td>920**</td><td>112</td><td>920**</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840**</td><td>113</td><td>1,840**</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>380</td><td>216</td><td>190</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>870</td><td>217</td><td>435</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,360</td><td>218</td><td>680</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,850</td><td>228</td><td>925</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>300</td><td>219</td><td>150</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>300</td><td>220</td><td>150</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>260</td><td>221</td><td>130</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141</td><td>1,210</td><td>241</td><td>605</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,210</td><td>242</td><td>605</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>430</td><td>243</td><td>215</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>580</td><td>244</td><td>290</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>240</td><td>126</td><td>240</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td>40.00</td></tr> <tr><td>146</td><td>690</td><td>246</td><td>380</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149</td><td>690</td><td>249</td><td>380</td><td>For each additional invention to be examined (37 CFR 1.29(b))</td><td></td></tr> <tr><td colspan="4">Other fee (specify)</td><td colspan="2"></td></tr> <tr><td colspan="4">Other fee (specify)</td><td colspan="2"></td></tr> <tr> <td colspan="4"></td> <td colspan="2" style="text-align: right;">**Reduced by Basic Filing Fee Paid</td> </tr> <tr> <td colspan="4"></td> <td colspan="2" style="text-align: right;"><b>SUBTOTAL (3)</b> (\$ 40.00)</td> </tr> </tbody> </table>			Large Entity Fee Code (\$)	Entity Fee (\$)	Small Entity Fee Code (\$)	Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - 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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Thomas C. Naratil

Attorney Docket No.:

4034-20

For:

**SYSTEM AND METHOD FOR TRADING  
TAXABLE AND NON-TAXABLE SECURITIES**

JC926 U.S. PTO  
09/688392  
10/16/00



Headquarters Plaza  
One Speedwell Avenue  
Morristown, N.J. 07962  
October 16, 2000

Box Patent Application  
Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

**CERTIFICATION**

I hereby certify that this paper, bearing Express Mailing Label No. EL478364962US, together with the accompanying papers directed to the above-identified Utility Patent Application are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to Box Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231.

  
\_\_\_\_\_  
Muriel Fleming  
(Mailer)